



03-01-02

GP2163
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03-20-02Attorney Docket No.: 10251-037

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Group Art Unit: 2163

Re: U.S. Patent
Application of : Robert FEILBOGEN, et al.
Entitled : METHOD AND SYSTEM FOR
INITIATING AND CLEARING
TRADES
Serial No. : 09/848,931
Filing Date : May 4, 2001

INFORMATION
DISCLOSURE
STATEMENT

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Assistant Commissioner for Patents
Washington, D.C. 20231

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I hereby certify that this paper or fee is being deposited with
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Patents, Washington, D.C. 20231.

Date of Deposit February 27, 2002

(Signature)

Alexander Mijirac

Sir:

Applicants submit herewith a PTO-1449 form and the information listed thereon. Applicants note that the cited documents from Cognotec and Integral are dated between February and April 2001, respectively. This postdates the filing of Applicants' provisional applications, filed in May 2000 and from which applicants claim priority, by at least 9 months. Applicants have no reason to believe, nor is there any suggestion in the Cognotec or Integral documents that the information contained therein was publicly available before the filing of applicants' provisional applications. Applicants are nevertheless submitting these documents, which came to the applicants' attention around mid-April/early May 2001, to make the record complete.

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Regarding the Financial Information Exchange Protocol (FIX) Version 4.2 that is submitted herewith, applicants note that this protocol appears to be revised from time to time and multiple versions are available at the www.fixprotocol.org web site. Applicants are submitting a printout of the last version of the protocol that is dated before the filing date of applicants' provisional applications from which priority is claimed.

It is requested that the references cited in the accompanying PTO-1449 form be considered herein.

This Information Disclosure Statement is being filed before the mailing of the first Office Action. Therefore, no fee is believed to be due at this time.

Respectfully submitted,

PROSKAUER ROSE LLP
Attorneys for the Applicant(s)

By

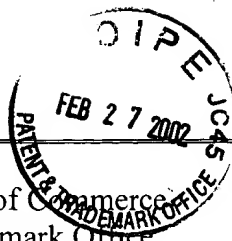
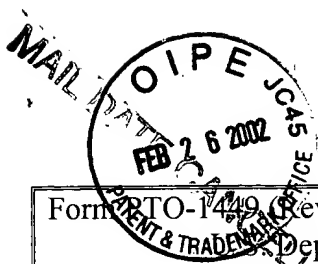

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Date: February 27, 2002

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Enclosures: PTO-1449 Form w/ references



Form PTO-1449 (Rev. 6-98) Department of Commerce Patent and Trademark Office		Attorney Docket No. 10251-037	Serial No. 09/848,931
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		Applicant Robert FEILBOGEN, et al.	
		Filing Date 05/04/01	Group Art Unit 2163
U.S. PATENT DOCUMENTS			
Examiner Initial	Document Number	Date	Name
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
Documents from Integral web site including press release entitled "Integral Autodealer Lets Banks Respond Immediately to Quote Request in Online Capital Markets Dealing," April 10, 2001, and description of "Integral Autodealer" and "Integral Connect," from www.integral.com, 10 pages.			
"Cognotec and Financial Software Systems Announce Collaboration Agreement for FX Margin Trading," Cognotec press release, April 5, 2001, 2 pages.			
"Cognotec set to become 'connectivity enabler of choice' for forex banks with launch of FXall CONNECT," Cognotec press release, February 16, 2001, 3 pages			
"Cognotec announces collaboration agreement with Atriaux," Cognotec press release, March 19, 2001, 2 pages.			
"EBS Spot Dealing System," from www.ebsp.com, 1 page.			
"CFOWeb.com," Integral Development Corp., from www.cfoweb.com, 1 page.			
"Fxall," FX Alliance, LLC, 2001, from www.fxall.com, 1 page.			
"Atriaux Global Briefings," from www.atriax.com, 1 page.			
"Currenex Global Financial Exchange" Currenex, Inc., 2001, from www.currenex.com, 2 pages.			
Documents from www.finxml.org, including "FinXML™ The Digital Language for Capital Markets" press release, July 7, 1999, and "Information," 6 pages.			
"FpML™: A Standard for Financial Derivatives Business-to-Business e-Commerce," from www.FpML.org, 2 pages.			
"The Financial Information eXchange (FIX) Protocol," from www.fixprotocol.org, 6 pages.			
"Financial Information Exchange Protocol (FIX)," Version 4.2, March 1, 2000, pages i-iv, 1-267 and Release Notes pages 1-9			
Examiner		Date Considered	
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP§60 : Draw line through citation if not in conformance and not considered, include copy of this form with next communication to the patent owner.			

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